



Guidelines for
**Transitional Education
Plan Preparation**
May 2016

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Acronyms

AFD	French Development Agency
DHS	Demographic and Health Survey
DFID	United Kingdom Department for International Development
EMIS	Education management information system
ESP	Education sector plan
GDP	Gross domestic product
GIZ	Germany Federal Enterprise for International Cooperation
GPE	Global Partnership for Education
HRMIS	Human resource management information system
HRP	Humanitarian Response Plan
IASC	Inter-Agency Standing Committee
IDP	Internally displaced person
IIEP	International Institute for Education Planning
INEE	Inter-agency Network for Education in Emergencies
KPI	Key performance indicators
LEG	Local education group
M&E	Monitoring and evaluation
MICS	Multiple Indicator Cluster Survey
NGO	Non-governmental organization
OCHA	UN Office for the Coordination of Humanitarian Affairs
PEIC	Protect Education in Insecurity and Conflict
RCM	Refugee Coordination Model
RRP	Refugee Response Plan
SGBV	Sexual and gender-based violence
TEP	Transitional Education Plan
UN	United Nations
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development

Introduction

The new global education agenda 2030¹ places strong emphasis on countries affected by adverse situations. It urges governments to put in place robust and responsive policies, strategies, and systems to ensure quality education in challenging contexts, and calls upon the international community to ‘build back better’ by providing coordinated support and investing where education needs are the most acute. The agenda expressly recognizes that the largest education gaps exist in crisis situations, noting that it is ‘critical to develop education systems that are more resilient and responsive in the face of conflict, social unrest, and natural hazards – and to ensure that education is maintained during emergency, conflict, and post-conflict situations’.

In response to the call for greater effort and investment in crisis-affected and challenging situations, these guidelines were designed to assist countries in preparing a transitional education plan (TEP). A TEP is justified where the changing nature of the situation makes development of a longer-term education sector plan (ESP) either technically unfeasible or inadvisable. As the name indicates, a TEP is transitional in nature; its aim is to steer and mobilize resources that will help maintain education services in times of crisis. At the same time, a TEP helps the education sector to progress by including reforms to ensure that education systems become more accountable, inclusive, and effective over time.

These guidelines are not exhaustive and must be adapted to each country’s context and needs. They first provide an overview of the essential characteristics of a good quality TEP, followed by a presentation of the main steps in the plan preparation process. They are accompanied by a selection of helpful resources² that are mapped according to the plan preparation steps.³ For countries that are candidates for GPE funding, a second accompanying document, *Guidelines for Transitional Education Plan Appraisal*⁴, must be used as part of the GPE grant process to assess the extent to which the TEP responds to expected requirements before its endorsement by development partners, including the civil society.

These TEP preparation guidelines draw heavily on the IIEP-GPE Guidelines for Education Sector Plan Preparation:⁵ the planning processes followed are essentially the same, although the scope and emphasis may vary based on the context. The guidelines are not, however, meant to provide direction for countries on whether to develop a TEP versus an ESP. Rather, they are to be used once a country has decided on a TEP. The guidelines represent a first attempt to provide technical guidance in developing transitional plans; they will be updated regularly based on country experiences and feedback.

Finally, these guidelines do not discuss the thematic content of the strategies to implement in crisis situations. They present only the key processes and methodological elements for developing a good quality TEP.

1 The Incheon Declaration, adopted at the World Education Forum held in Incheon, Republic of Korea, in May 2015, constitutes the commitment of the education community to Education 2030 and the 2030 Agenda for Sustainable Development. The Education 2030 Framework for Action provides guidance for implementing the Education 2030 agenda at global, regional and national levels:

http://www.unesco.org/new/fileadmin/MULTIMEDIA/HQ/ED/ED_new/pdf/FFA-ENG-27Oct15.pdf.

2 <http://www.globalpartnership.org/content/tools-and-resources-planning-fragile-and-conflict-affected-contexts>

3 In particular, INEE guidelines that are listed in the compendium of tools echo many of the same processes and principles. The TEP and INEE guidelines are seen as mutually supportive.

4 <http://www.globalpartnership.org/content/guidelines-transitional-education-plan-appraisal>

5 <http://www.globalpartnership.org/content/guidelines-education-sector-plan-preparation>

I. What is a TEP?

A transitional education plan is a national policy instrument, developed under the leadership and responsibility of state authorities (national or regional).⁶

In situations where longer-term planning or the implementation of an existing ESP is compromised by contextual uncertainties, a TEP enables the state and its partners (development, humanitarian, and civil society) to develop a structured plan that will maintain progress towards ensuring the right to education and longer-term educational goals.

⁶ A transitional education plan is often developed at the national level. In decentralized contexts, a sub-national-level authority can develop a TEP.

The main differences between TEPs and ESPs are:

- TEPs are generally three-year plans.
- TEPs seek to address immediate needs and reduce the risk of future crises.
- TEPs include a strong focus on strengthening system capacity, with the aim of developing capacities for preparation of an ESP by the end of the TEP implementation period.
- TEPs do not necessarily cover the full education sector.
- TEPs target a smaller number of priorities.
- TEPs generally include a range of selected priorities that support the transition from emergency responses to longer-term development.
- TEPs require less time to prepare (generally less than 12 months).

Although the TEP period is shorter than that of an ESP, longer-term strategic thinking and planning for system strengthening and reform are important. In crisis situations, this might include, for example, anticipating future needs associated with the return of refugees to the country or internally displaced persons (IDPs) to their home areas, or considerations related to protracted displacement. Such forward thinking is essential for continued progress towards long-term goals, such as education for all as articulated in Sustainable Development Goal 4.⁷ In ongoing crisis situations, TEPs can be useful to outline the priorities needed to at least maintain the progress achieved prior to the crisis.

Transitional plans therefore should be inspired by and fit within a long-term vision of the education system's development, while also focusing on issues that are immediate threats to achieving that long-term vision.

What are the benefits of a TEP?

The preparation of a TEP results in several benefits, including:

- a common framework for aligning partner activities with those of the government in support of education – especially important in situations where both development and humanitarian partners are present;
- a vehicle for harmonizing emergency or early recovery education activities that may be specified in a Humanitarian (or Refugee) Response Plan with longer-term development priorities for the education sector, which can help countries to manage rapidly changing contexts;
- a plan that will facilitate access to external education financing opportunities, including funding from the Global Partnership for Education, to ensure continued learning;
- a sense of ownership among those involved in the planning process, which will aid with implementation of the plan;

⁷ In particular, Education 2030 states that 'the capacity of governments and civil society for disaster risk reduction, peace education, climate change adaptation, and emergency preparedness and response should be strengthened at all levels to ensure that risk is mitigated and education maintained during all phases, from emergency response to recovery' (p. 7).

- a ‘road map’ for key priority education programs for three years, which may facilitate coordination with other sectors (such as health) and will also feed into the full ESP as it is developed;
- a mutual accountability framework that will increase transparency and the articulation of roles and responsibilities among stakeholders, thereby optimizing the efficient use of available resources in contexts where the number and type of stakeholders are generally even greater.

What are the essential characteristics of a good quality TEP?

The TEP preparation process must include a sound analysis of the current situation and contextual specificities, using the best available data. Based on the analysis, TEPs must then outline a coherent set of targeted strategies to address immediate priorities and overcome challenges to implementation or planning that have resulted from the crisis. The TEP also takes into account system capacity development, especially with regard to human resource and financial management, planning, and education management information system (EMIS), and includes activities related to long-term planning – most particularly the development of an ESP. Implementation, monitoring, and evaluation frameworks must also be included in TEPs to assess whether intended results are being achieved.

The essential characteristics of a TEP are as follows:

- A TEP is shared.** The plan is state-driven and developed through a participatory process, ensuring commitment of key ministries together with key actors of the education sector, including education partners and civil society, to support its implementation. It provides a framework of mutual accountability for the ministry of education and its civil society, development, and humanitarian partners.
- A TEP is evidence-based.** It addresses key challenges identified through an evidence-based analysis of

the education system. In situations where a comprehensive education sector analysis is not practical due to limitations in data or the amount of time and capacity required for a thorough analysis, the best available data and evidence are used to identify immediate and longer-term needs and to examine the causes of the issues identified. Following this, responsive and viable shorter- or medium-term remediation strategies are developed.

- A TEP is sensitive to the context and pays attention to disparities.** The plan includes an analysis of the vulnerabilities specific to the country. These might include consideration of the immediate and longer-term negative effects of conflicts, disasters, or political or economic crises on education, as well as the potential for the education system to exacerbate tensions and conflict through, for example, existing policies, curriculum, and textbook content or exclusion of marginalized groups. To reduce the risk that education might contribute to societal grievances, a TEP identifies and addresses existing disparities based on sex, age, race, color, ethnicity, language, religion, political or other opinion, national or social origin, property, or birth, as well as persons with disabilities, migrants, indigenous peoples, and children and youth, etc.⁸ A TEP addresses prevention, preparedness, and crisis/disaster risk reduction and mitigation measures in order to:

⁸ The list of ‘marginalized and vulnerable groups’ as described in the Education 2030 agenda are not exhaustive, and countries and regions may identify and address other status-based vulnerability, marginalization, discrimination, and exclusion in education.

- provide for the safety and well-being of children, teachers, and administrators;
- strengthen the resilience of the education system;
- contribute to efforts to strengthen social cohesion and peacebuilding, in line with the principles of ‘do no harm’ and ‘leave no one behind’.

d. A TEP is strategic. It identifies strategies that not only help address the education system’s immediate needs, but also build the foundation for realizing the system’s long-term vision. The TEP presents arguments for the choice of these strategies; the direction it offers guides national authorities and its partners. It therefore helps avoid the type of ad hoc, uncoordinated action that may prevail in situations where significant amounts of project-based support occur outside the government’s education plan.

e. A TEP is targeted. The plan focuses on critical education needs in the short and medium terms, and on system capacity development, including the preparation of the next ESP. It focuses on a limited number of policy priorities most likely to drive effective results over the planned period, taking into account the scarcity of the resources available and the capacity/contextual constraints. As such, the TEP may not cover the full education sector. It is an intermediate document and tool within a progressive approach to education sector development.

f. A TEP is operational. The TEP is a feasible, multi-year plan that includes well-argued implementation and financial hypotheses not only for meeting agreed-upon priorities but also for system development and strategies to overcome financial, data, technical, and political constraints. It provides a detailed framework for implementing programs, regularly monitoring progress achieved and corresponding expenditures, as well as assessing the effectiveness of the strategies implemented. It is a lively policy instrument that is monitored regularly and adapts to the changing environment in the course of its implementation. At a minimum, a TEP should be carefully costed, clearly identify implementation roles and responsibilities, and include an achievable results framework.

What are the essential characteristics of the plan preparation process?

To foster broad ownership of the TEP, it is important that the process be participatory and include a wide range of stakeholders to the extent possible. In particular, those who will implement the TEP must be involved in the plan development process; doing so increases the likelihood that they will engage with and implement the TEP successfully. The essential characteristics of the plan preparation process are as follows:

a. A state-led process. As a TEP constitutes a key national policy instrument, it is primarily the responsibility of state authorities, which have to make the final decision on plan priorities and take responsibility for committing resources and implementing the TEP.

In situations where it does not cover the entire country, the TEP should clearly outline responsibilities and geographical coverage.

When national capacity has been diminished – due to movement or migration of personnel or decreases in the education budget, for example – increased technical assistance may be needed during the plan preparation process. It is essential, however, that such assistance be provided in a way that strengthens capacities and fosters state ownership of the final plan. TEPs are most likely to succeed if they are the result of a process led by the state and internalized by national stakeholders.

b. A participatory process. Ideally, the planning process facilitates policy dialogue that brings people together to build consensus on the priorities of the education system. It should involve different administrative levels and stakeholders from within the education sector, as well as from local, national, and international civil society, teachers' unions, and international partners (both development and humanitarian). In order to base the TEP on sound financial assumptions, the ministry of finance should be part of the process when possible; inter-ministerial cooperation can increase the effectiveness of education sector responses. When relevant, other government authorities – such as the ministries of women's affairs, health, youth, refugee affairs, and the national disaster management authority, among others – are strongly encouraged to participate in the process.

Facilitating a participatory process may be more challenging than usual, however, if some areas of the country are inaccessible due to the crisis. Creative means may be needed to achieve the broad participation and input vital to building consensus and fostering ownership of the plan. For example, if it is not feasible to bring together education officials and key partners from all parts of the country, then alternative methods (e.g., radio, mobile phones, or, if available, Internet) may be used to seek input from different regions. If some regions are inaccessible, it may be possible to obtain input with the assistance of key partners, including NGOs and UN agencies with a presence in the inaccessible regions.

c. A coordinated process. The local education group (LEG),⁹ chaired by the ministry of education, is a forum for policy dialogue and coordination between state authorities and their development partners. The LEG can take different forms but, in general,

should include representatives from the national government, donors and development agencies, and other education development partners, such as civil society organizations and private education providers. In emergency and protracted crisis situations, key humanitarian partners such as the Education Cluster and UNHCR should also be included in the LEG. These latter two actors also are responsible for coordinating the international humanitarian response as described in Box 1.

The need for coordination is even greater in crisis situations because humanitarian and development partners may be supporting education through different programs and projects. As the main government plan, the TEP is an important mechanism for aligning actions and ensuring that external efforts are:

- complementary,
- do not duplicate or use different standards or approaches,
- add up to a coherent whole that addresses key priorities.

This requires mapping, analysing, planning, and monitoring so that humanitarian and development actors harmonize their efforts.

During the TEP development and implementation process, efforts are also needed to strengthen (or establish) the LEG. This ensures mutual accountability between the state and its partners. It also facilitates the processes of appraisal and endorsement of the TEP, as well as the partners' commitment to contribute funds for implementation of the endorsed TEP.

⁹ LEGs may have different names in different countries – for example, Education Sector Development Committee, Joint Education Sector Working Group, Education Technical Working Group, and ESP Consortium. For more information on the composition and functions of LEGs, see also the GPE 'Country Level Process Guide': <http://www.globalpartnership.org/content/country-level-process-guide>.

In humanitarian crises where a Humanitarian Response Plan (HRP) or Refugee Response Plan (RRP) has been developed to guide the international response, activities in the TEP and the HRP or RRP

should be articulated and aligned to the extent possible. The TEP also indicates where and how the international responses contribute to immediate needs and capacity building in the sector.

BOX 1: INTERNATIONAL COORDINATION BODIES

THE INTER-AGENCY STANDING COMMITTEE (IASC) EDUCATION CLUSTER

The Education Cluster derives its primary mandate, scope, and boundaries from the IASC humanitarian system, and specifically from the cluster approach. The stated aim of the cluster approach is to strengthen system-wide preparedness and coordination of technical capacity to respond predictably to humanitarian emergencies, and to provide clear leadership and accountability in the main areas of humanitarian response. Where it operates, the principal responsibility of the Education Cluster is to provide education agencies and organizations responding to an emergency the opportunity to take a coordinated approach, working alongside existing education structures at the country level to meet the education needs of the affected population. This approach aims to ensure that the international response is appropriate, reliable, and efficient.

Source: <http://educationcluster.net/what-we-do/>

UNHCR AND THE REFUGEE COORDINATION MODEL

The United Nations High Commissioner for Refugees (UNHCR) has a global mandate for the protection of refugees, regardless of their location in emergency, non-emergency, and mixed movements involving asylum seekers and refugees. The UNHCR Refugee Coordination Model (RCM) provides a framework for leading, coordinating, and delivering refugee operations in a predictable, inclusive, collaborative manner. It articulates and consolidates coordination practices with the goal of achieving the best possible protection of and assistance to refugees, and addresses situations where large-scale responses require the support of UNHCR and other international humanitarian actors.

In the RCM, sector-based responses for refugees are intended to connect to state-led, area-based humanitarian and development mechanisms where possible. In the education sector, if the ministry is not the co-ordinator, UNHCR and partners will coordinate or co-ordinate the sector based on established criteria.

Source: 'Refugee Response Coordination: Frequently Asked Questions', n.d., www.unhcr.org/54f6cb129.html

- d. A well-organized process.** TEP preparation requires a well-organized course of action. Accordingly, it is important to lay out an organizational structure for the plan preparation process, including a short

description of the responsibilities for each component of the structure. Whether for a TEP or an ESP, the following structures may be useful:

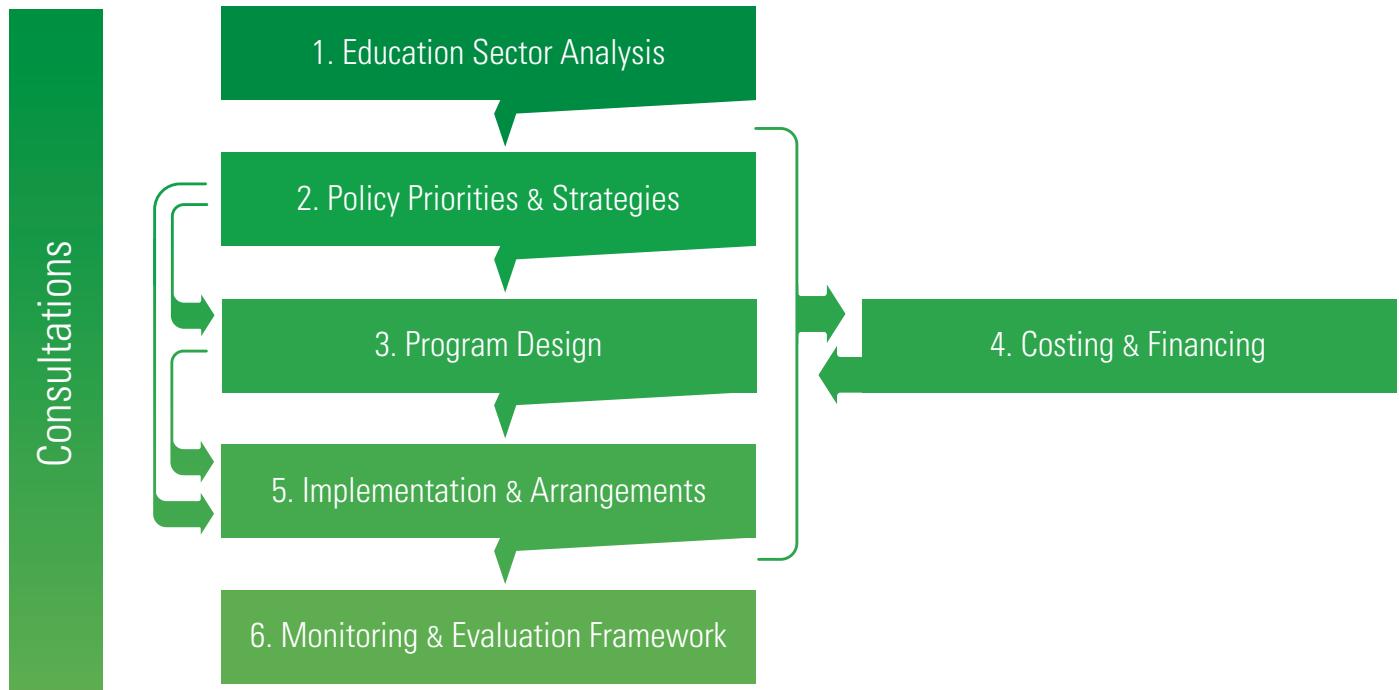
- **A steering committee** of high-level representatives to guide the process. Since the TEP is a national plan, the minister of education should chair the steering committee. The committee should consist of a small group of senior ministry personnel and, depending on the context, may also include key development and humanitarian partners, such as a co-chair of the LEG, the Education Cluster coordinator, or the Refugee Sector coordinator, if present. However, the ultimate responsibility of the overall planning process always lies with the state.
- **A planning committee** within the ministry that is responsible for technical work and drafting the plan. Chaired by the director of planning, this committee is also responsible for coordinating with the ministry of finance, applicable directorates and departments within the education ministry, and other education stakeholders. If consultants or other technical advisers are assisting with preparation of the TEP, they should be part of, or advisory to, the planning committee.
- **Technical working group(s)** responsible for specific plan priorities. At a minimum, two to three technical resource people from within the ministries overseeing education should be nominated to work on each of the TEP priority areas, in collaboration with development and humanitarian partners as well as relevant civil society actors. When TEPs are developed in response to crisis situations, a technical working group focused on ‘education in emergencies’ should be considered. Such a group would include one or more representatives from the ministry and from the Education Cluster or UNHCR.

The creation of numerous new structures should be avoided, especially if existing committees or groups can play the above-mentioned roles. New structures should only be set up if none of the existing structures can be used.

- **e. A capacity-development process.** A key characteristic of a TEP is that it prioritizes strengthening system capacity during the plan implementation period. In particular, this includes bolstering the planning, EMIS, finance, and human resource management systems of the ministry. The preparation of the TEP is itself an opportunity for developing capacity within the system. When development or humanitarian partners support TEP preparation, the process should be structured to encourage maximum participation in the planning process by ministry staff, especially from the planning department. By participating in the full range of tasks required to develop a TEP, ministry staff will be better able to build on the knowledge and skills gained when they begin the process of ESP preparation.

II. Preparation of a TEP

The preparation of a TEP closely follows the standard education planning process as shown in Figure 1, though the scope of most components will vary. For example, because the TEP is targeted, the number of programs will be fewer. The program design phase for a TEP also incorporates the breakdown of strategies into operational activities. The monitoring framework may be limited to include only the key indicators that are compatible with the system's monitoring capacities. This will allow some monitoring of results to occur at the same time that EMIS and monitoring system capacities are further strengthened.

FIGURE 1. MAIN COMPONENTS OF THE TEP DEVELOPMENT PROCESS

As shown in Figure 1, planning is not a linear process. Although there are logical steps to plan preparation, these steps are also interdependent. The most notable example is that, early in the process, those preparing the TEP identify priorities and specific targets (e.g., for expansion of secondary education, or recruitment of teachers), which at a later stage turn out to be too ambitious, either because they are too costly or because the institutional capacity (e.g., teacher training institutes) is insufficient. The planners may need to revisit targets, rethink priorities, or design a phased program implementation in order to make the TEP more feasible. The planning process is thus iterative. A projection/simulation model is particularly useful in devising various scenarios for the development of the system, with different targets that translate into different implementation plans and costs. This facilitates the choice of the most relevant and feasible scenario.

At regular intervals during the preparation of the TEP, different stakeholders are consulted. Ideally, a preliminary consultation occurs once the situation analysis has been prepared and major challenges identified. This allows stakeholders from within the ministry, as well as partners, to:

- contribute to the analysis;
- come to a preliminary consensus on key challenges to be addressed within the TEP;
- start devising the possible theory of change that will underpin the TEP, identifying a potential causal chain.

At a minimum, comments are also sought from key partners once the plan has been drafted, and a consultation/validation meeting takes place for the near-final version of the TEP.

Education situation analysis

An education situation analysis is the first step in the TEP preparation process. Its aim is to develop (or take stock of) a body of evidence for depicting the performance of an educational system at a specific time, and the external factors that may affect it. The analysis focuses on the key issues and challenges a system may face and seeks to identify their underlying causes.

The situation analysis includes noteworthy macro-economic, demographic, financial, education, and human resource data to support the identification of challenges and their potential causes, with an eye towards addressing those challenges during the plan period. Its comprehensiveness and coverage may vary according to various factors, including data availability, knowledge gaps, and whether identifying the immediate priorities to be addressed would require further investigation in order to fully understand their causes.

For instance, in crisis-affected situations, the analysis logically includes an assessment of the immediate and potential longer-term effects of the crisis on the education system and on students, teachers, and other education personnel. Analysis of the immediate effects is crucial to identifying urgent needs, particularly with regard to safety and security in and around schools, including sexual and gender-based violence (SGBV) and psychosocial issues affecting children and education personnel. In addition, the assessment should identify the need for inclusive learning spaces and learning materials to replace those damaged or destroyed as a result of the crisis.

Such an assessment also considers changes in enrollment patterns due to displacement and migration of populations — including IDPs, refugees, and returnees — and how those changes affect the need for and distribution of schools, teachers, and other education personnel in various geographic areas of the country. It should further include an analysis of the education's

contribution, if any, to conflict, as well as longer-term needs to reform the system in order to reduce future risks.

Standard education sector analyses require extensive time, resources, capacity, and reliable quantitative data to complete. These elements may be adversely affected or missing in contexts where a TEP is relevant. If sufficient, good-quality data required for a full sector analysis are not available, or if the time is limited or the TEP is going to prioritize specific sub-sectors, the TEP can include a less comprehensive (but still evidence-based) analysis of the education situation. In addition, the core activities and resources required to conduct a full education sector analysis, including improvements in the data collection and analysis processes, are then specified in the TEP for implementation during the plan period. To the extent possible, it is useful to include a broad analysis of the education sector in order to highlight key linkages among the sub-sectors and to keep track of longer-term goals for expansion of the sector; for example, these may include anticipated needs with regard to future expansion of secondary education.

For TEPs, it is especially critical to focus attention on analysis of the context and of disparities in the provision of and access to education (including by gender, disability, location, or socio-economic group). These analyses are crucial to developing crisis-sensitive education plans, which ensure that education activities at all levels are responsive to conflict and disasters and foster safety, resilience, inclusion, and social cohesion.

Following a major crisis, coordination groups can bring invaluable resources and technical expertise to strengthen both information and analysis; in addition, they help to advance an understanding of implementation constraints in crisis-affected and hard-to-reach areas. The Education Cluster and the UN Office for

the Coordination of Humanitarian Affairs (UN OCHA) generally have information from areas with IDPs or affected by disasters. For refugees and returnees, UNHCR will be a critical information source. World Bank-led Post-Disaster Needs Assessments also include information regarding the disaster's impact on education. Information can further be collected through other actors working in, or with a focus on, the country (e.g., international and national NGOs, as well as national education coalitions that gather evidence through citizen-led tracking and data-gathering exercises in all parts of a country, including at the grassroots and school levels). Other possible sources might include surveys that ask for some critical education data, such as:

- MICS (Multiple Indicator Cluster Survey),
- DHS (Demographic and Health Survey),
- Budget-Consumption Survey,
- Labor Force Survey.

BOX 2: THE CHALLENGE OF DATA IN ADVERSE SITUATIONS

Solid analysis of the available data and already existing evidence (through studies, for instance), or data that can be made available quickly, is a requirement for a TEP. Data are necessary to conduct situation analysis, to develop costed scenarios, and to set policy targets for sector results and performance.

MAKING USE OF THE BEST AVAILABLE DATA (QUANTITATIVE AND QUALITATIVE)

- The first step is to determine whether existing quantitative and qualitative data within the ministry of education and among its partners can be used to analyze key areas of access, equity, quality, and management.
- Rigorous qualitative data, especially but not exclusively in contexts where quantitative data are not easily available, merit consideration as complements to quantitative data analysis. They help inform contextual, cultural, political, and social elements to build a causal analysis of the issues and phenomena identified.
- If the ministry's data are incomplete, out of date, or not reliable, it might be too costly and time consuming to generate new data specifically for the TEP situation analysis. Therefore, it will be necessary to supplement ministry data with data from other sources.
- When using data from multiple sources, it is necessary to 'triangulate', or compare, data from the different sources. As this process can take considerable time, it focuses only on what is needed to develop a reasonable picture of the situation. The sources of data used and the assumptions made are then explicitly stated in the analysis.

Research studies may also be useful, such as those conducted by UNICEF, UNESCO, UNHCR, Government Spending Watch,¹⁰ or international and national NGOs supporting education in the country.

Though the scope will be more limited and may only apply to specific sub-sectors, the education situation analysis addresses all the main categories required for an ESP, namely:

- context,
- policy,
- education system performance,
- system capacity,
- cost and finance.

¹⁰ Government Spending Watch is a joint initiative of Oxfam and Development Finance International. It tracks government spending on the Millennium Development Goals and, starting in 2016, the Sustainable Development Goals. For more information, see <http://www.governmentspendingwatch.org/>.

COLLECTING ADDITIONAL DATA

- Some situations necessitate additional data collection. In situations involving large population displacements or significant numbers of deaths (of students or education personnel), pre-crisis ministry data will need to be supplemented with an estimate of the current situation, which may be based on a sample of accessible and affected schools.
- Rapid assessments can provide important disaggregated data and information on numbers of displaced children in specific areas to help develop a more accurate picture of the current situation. Other information may include:
 - number of destroyed or damaged schools/classrooms;
 - number of displaced teachers;
 - number of schools closed (and reasons for the closure, e.g., teachers left the school, teachers were not paid, population was displaced, school was attacked or is occupied, etc.).
- When rapid assessment is needed, the Education Cluster and UNHCR are able to provide support. However, since a rapid assessment may be a lengthy and costly process, the need for collecting primary and up-to-date data and its coverage and depth must be carefully weighed against the cost and urgency of developing a TEP that provides a coordinated framework for how to restore/maintain a system.

SPECIAL CONSIDERATIONS RELATED TO POPULATION DATA

Potential problems with population data:

- Full population census has not been conducted in more than a decade;
- Inability to collect data due to weakened capacity or inaccessibility of certain regions;
- Limited or weakened capacity of the national statistical office, which affects data analysis and the ability to make sound demographic projections;
- Large-scale population movements due to disaster or conflict; these movements can be related to those who are internally displaced within the country or to refugees from another country.

Possible remedies or additional sources of information:

- Consult with national statistics office: What are their current estimates? What potential problems do they see in the estimates?
- Check for estimates from UN Population Division, UNDP, or the World Bank: Are their estimates in line with those of the national statistics office? What are the reported reasons for any differences?
- Has a National Household Survey, Multiple Indicator Cluster Survey (MICS), Demographic and Health Survey (DHS) or other been conducted? If so, how do the population estimates from these sources compare to others? What are the reported reasons for any differences?
- Check for estimates from OCHA, the Education Cluster or UNHCR related to the number and composition of displaced and refugee populations. These estimates should be used when analyzing regional education needs.
- Partner with local civil society networks that may have valuable data/evidence.

CONTEXT ANALYSIS

TEPs are often developed in situations of great change or uncertainty. The context analysis must therefore look at the impact of the crisis on education, examining not only its immediate effects but also the ways in which the crisis (and its evolution) may disrupt the education system in the longer term. Furthermore, the analysis should evaluate whether and how the education system may have played a role in the crisis (e.g., through historical neglect of certain geographic areas or population groups, or through discriminatory messages included within the curriculum).

The context analysis addresses the same key themes as an ESP, with a specific emphasis on changes in relation to the crisis/challenging context. Annex 1 provides some examples.

POLICY ANALYSIS

Although thorough policy analysis may not be possible, at a minimum the TEP should identify and analyze:

- the status and implementation of existing education policies – specifically any that address the provision of free and compulsory education as a public good (and at which levels);
- education commitments contained within overall national or regional development policies or plans – including in national development plans and Poverty Reduction Strategy Papers (or interim PRSPs) – and whether these commitments/priorities are still relevant based on the current situation;
- education commitments and obligations in international agreements, such as:
 - 2030 Agenda for Sustainable Development,
 - Incheon Declaration,
 - Convention on the Rights of the Child,
 - Convention on the Rights of Persons with Disabilities,
 - 1951 Convention Relating to the Status of Refugees.

The Convention on Economic, Social, and Cultural Rights and the Convention on the Elimination of Discrimination against Women are also important rights frameworks for education and associated principles.

In situations affected by conflict, the policy analysis should include a review of education policies to determine whether any existing policies contributed to the crisis. Any necessary policy revisions can then be incorporated within the TEP priorities.

EDUCATION SYSTEM PERFORMANCE ANALYSIS

The analysis of education system performance is evidence-based. It documents the scale and scope of immediate and anticipated effects of the crisis on the education system, and identifies key challenges in the areas of access, equity, and quality for targeted sub-sectors. It will likely be less comprehensive than in a full ESP, owing to time and data limitations and the more limited scope of the TEP. In crisis-affected situations, standard educational data will have changed, sometimes significantly. For example, children and teachers may have been displaced, both within the country and across borders; learning materials, equipment, schools, and other infrastructure, including water and sanitation systems, may have been destroyed or badly damaged, or may be insufficient to absorb displaced populations. It is necessary to supplement pre-crisis EMIS data (e.g., related to enrollment and infrastructure) with rapid assessment data when analysing the effects of the crisis on the education system.

At a minimum, basic information on schools, students, and teachers (civil-servant as well as community teachers) is needed to guide the identification of key priorities. It is also crucial to gather some information on the children who do not have access to or do not complete basic education, or who do not learn. The analysis should include reasons why children do not have access to school, as well as the effects associated with disruptions to education. For example:

- Does poverty prevent some children from attending school?
- Are children displaced by the conflict unable to enroll in host community schools?
- Are children with disabilities discouraged from attending school due to inaccessibility, attitudes, or lack of facilities?
- Have children missed significant periods of schooling? Are they proficient in the language of instruction?
- Have they experienced stress and trauma? Are there cultural/religious diversities to be addressed?

Annex 2 is a checklist of key education system performance analysis components, with a list of corresponding education indicators and data that are used for analysing education system performance. During the TEP preparation process, the planning committee should identify the indicators that are relevant for the priority sub-sectors and then determine the indicators for which information (or best estimates) is available. Information on the selected indicators is then included in the analysis. If information is not available to compile specific priority indicators, plans for collecting the needed information and strengthening the EMIS are also included in the TEP.

SYSTEM CAPACITY ANALYSIS

It will most likely not be possible to conduct a full system capacity analysis during the preparation of a TEP. Since the TEP is an opportunity for developing priority programs to address system capacity, however, a brief analysis of the ministry's core management functions should be included.¹¹ It can be as simple as short descriptions of the main strengths and weaknesses in four main areas:

- **Planning:** This analysis looks at the current capacities of staff in the planning department at both the central and decentralized levels. Do staff have the capacities to carry out all the steps in the planning process – from development of medium-term plans to annual action plans and through to monitoring, evaluation, and reporting on implementation? What level of planning capacity exists at sub-national levels? What are the planning processes currently in place? For example, are annual implementation/operational plans developed at central or sub-national levels? Do contingency or emergency preparedness plans exist? What are the capacity needs in planning at individual and organizational levels?

- **Education management information system (EMIS):** If there is an existing EMIS, the analysis describes the current system, including its strengths and weaknesses. It focuses on the capacities of ministry staff at the central and decentralized levels to collect, analyze, and report on education statistics, and whether they are sharing information with development and humanitarian partners. In addition, the analysis might identify whether the current system incorporates (or needs to incorporate) information related to the status of the students in the schools surveyed (refugees) and the safety of students and facilities in relation to disaster and conflict risk reduction. With or without an existing EMIS, the analysis identifies the primary constraints to producing timely and reliable data. It also includes a description of the current challenges in collecting education statistics from all parts of the country, especially from areas affected by conflict or disaster.

- **Financial management:** This analysis includes a short description of the public financial management systems and the timing of key processes; it also reports on the ministry of education's finance department and its relationship to the ministry of finance. In addition, it outlines the financial management

¹¹ For more information, see also UNESCO-IIEP Assessing the education planning capacity of a ministry of education: analytical framework. Paris, UNESCO, 2013. <http://doc.iiep.unesco.org/wwwisis/repdoc/E034640.pdf>.

capacities at both national and sub-national levels, including the ability to develop budgets as well as disburse and report on funds expended.

- **Human resource management:** The analysis can provide an overview of the human resource management system within the ministry of education. Of particular concern are the current hiring and deployment practices for teachers and education administrators. Are there job descriptions for key posts? Are the recruitment and hiring practices transparent? What systems, if any, exist for verifying teachers' employment status? Are systems for salary payments functional? Is there a human resource management information system (HRMIS) that contains information on all ministry employees, including sex, educational level, training completed, and location of current posting? To what extent is the teaching profession attractive?

COST AND FINANCE ANALYSIS

A short section related to the national education budget and other sources of revenue should be included in the situation analysis. If available, this includes an estimate of the impact of the crisis on country resources and the education budget in particular.¹² The TEP should include a mapping of the external resources that have been mobilized in the education sector (both on budget and through separate project support from development and humanitarian partners) and highlight, when feasible, the level of contribution from the households.

To the extent possible, it also provides information on:

- public expenditure on education as percentage of GDP;
- public expenditure on education as percentage of total government expenditure;

- public recurrent expenditure on education as percentage of total recurrent government expenditure;
- external funding as percentage of total education funding;
- on-budget external funds as percentage of total external funds;
- educational expenditure by sub-sector/education level as percentage of total educational expenditure (both recurrent and capital);
- wages/salaries as percentage of public recurrent education budget, by sub-sector;
- operating cost as percentage of public recurrent education budget, by sub-sector;
- social spending as percentage of public recurrent education budget, by sub-sector;
- household or community contributions to education. (Note: This information may be more difficult to obtain; however, some information might already exist from recent household surveys, or anecdotal evidence might be available from NGOs or UN agencies.)

It may also be necessary to conduct a rapid cost analysis, both to estimate the potential rise in unit costs of the system's key inputs as a consequence of the crisis and to prepare for a more rigorous costing of the overall TEP. Unit costs may be severely influenced by the political situation (e.g., international embargo, etc.), the economic situation (e.g., high inflation, currency volatility, etc.), or geographical specificities (landlocked areas, hard-to-reach areas for security or geographic reasons, etc.).

¹² The Addis Ababa Action Agenda encourages countries to set nationally appropriate spending targets for education. National contexts are diverse, but the following international and regional benchmarks are crucial reference points: · allocating at least 4% to 6% of gross domestic product (GDP) to education; and/or · allocating at least 15% to 20% of public expenditure to education.

Policy formulation: setting policy priorities and key strategies

The purpose of this step is to define, based on the available evidence identified at the analysis stage, a limited set of priorities and goals that will then be outlined in major strategies and targets for reaching those goals. Crisis-affected situations engender numerous and urgent needs, making prioritization more difficult. The TEP must be targeted to increase the probability of effective implementation. It is critical, therefore, that the plan does not become a ‘wish list’ of everything that needs to be done to improve and strengthen the education system. The TEP is an interim plan; the priorities must therefore be based on the most urgent and critical needs that emerge through the situation analysis.

SETTING THE STAGE FOR LONGER-TERM GOALS

A TEP is a national policy instrument that is influenced by the social development priorities and international commitments of the state. These priorities may be spelled out in national development policies, including transitional or interim development plans, or in international commitments. The Education 2030 Incheon Declaration and Framework for Action for achieving Sustainable Development Goal 4, ‘Towards inclusive and equitable quality education and lifelong learning for all’, provides seven long-range targets. They spell out a global level of ambition that should encourage countries to strive for accelerated progress. They are applicable to all countries, taking into account different national realities, capacities, and levels of development. Authorities are expected to translate global targets into achievable national targets based on:

- their education priorities,
- national development strategies and plans,
- the ways their education systems are organized,
- their institutional capacity,
- the availability of resources.

TEPs offer a stepping-stone approach, based on need, towards realizing these long-range goals – an approach that will ultimately be articulated in a comprehensive ESP. At a minimum, the TEP must reflect the state’s responsibility for the basic education cycle for all children, which is related to the right to education and to the legal provisions for compulsory education. In crisis-affected situations, it is paramount that the TEP also reflect priorities related to the safety, well-being, and special needs of learners, and to strengthening the resilience of the system so as to mitigate the risks identified in the context analysis.

HIERARCHIZING THE SYSTEM ISSUES AND CHALLENGES

While the process of dialogue may be difficult, it must not be neglected, as evidence-based dialogue is the principal instrument for policy formulation at this stage. It is important that the stakeholders involved in the planning process develop a strong consensus on the situation analysis, as well as a common understanding of the potential root causes of the key system issues. These are crucial if the planners are to identify the corresponding policy priorities and understand the limitations – financial and technical – confronting the education system.

Dialogue on policy formulation is driven by the actual use of the evidence gathered to connect a series of steps in a theory of potential cause–effect relations. This helps to devise policy priorities for addressing immediate needs and medium-term development objectives. The TEP should serve as a bridge between emergency education responses and longer-term developmental responses that seek to strengthen the sector. Depending on the context, this will translate into an appropriate mix of shorter-term policy priorities to maintain educational services – repairing damaged infrastructure,

for example – and medium-term policy priorities to reform the system, such as strategies for providing flexible, alternative learning modalities for children whose education was disrupted by the crisis.)

Following a crisis, it is essential to make sure that children not only have access to education but also are able to learn safely. If the situation analysis has revealed threats to children's safety and well-being, either in school or on the way to and from school, then strategies to counter these threats should be included in the plan. This is consistent not only with securing children's right to education but also with their rights related to safety and well-being. Similarly, if the context analysis reveals that education is in some way contributing to conflict (e.g., through biased curriculum or inequitable access to education), strategies for overcoming these contributing factors should also be considered.

SETTING PRIORITIES AGAINST IMPLEMENTATION CAPACITIES

Planners review the challenges identified in the situation analysis, and most importantly their underlying causes. They then agree on a limited set of key challenges that can *reasonably* be addressed during the TEP implementation period given the available capacities, either to make progress or (in some cases) not to lose ground. The next step is to establish policy priorities that will help determine the remediation strategies.

To structure this process, planners map out the results they intend to achieve over the full period of the plan and reflect on the pathway for changes to occur. This reflection also takes into consideration the likely evolution of the crisis, contributions by other actors (such as through the humanitarian or refugee response plan), and contingencies for escalation in cases of conflict.

For example, when planners project the infrastructure needs in a test scenario they may realize that, even if financially feasible, the actual construction or

rehabilitation of a considerable number of classrooms may face implementation constraints. Within the given timeframe, and with the capacities available, it simply may not be a realistic option.

SETTING PRIORITIES AGAINST FINANCIAL RESOURCES AVAILABILITY

Projection models are a powerful tool for informing the policy-making process and for devising realistic policy priorities and strategies. A projection/simulation model portrays a number of scenarios in order to estimate the resource requirements and corresponding financial needs. The projected results under the scenarios should be analyzed against different types of constraints; this may lead to changes in the model (e.g., a new set of policy parameters) for issuing other scenarios and help to build a consensus among the stakeholders on an optimal scenario.

In particular, the projection/simulation model will help determine the size of the funding gap by comparing the actual costs of the TEP priorities and programs against projected estimates of the financial resources available over the plan period. Assessing available resources is especially valuable in environments where resources are heavily driven by the availability of external aid, as is the case in most crisis contexts.

The level of the funding gap should be explored in two ways:

1. determining the need for additional financing and building the case for raising extra funding,
2. reconsidering the TEP's priorities if the funding gaps are considered too important and would jeopardize the credibility and feasibility of the plan.

The section "Plan costing and financing" details the use of projection models within challenging contexts for costing and financing a TEP.

Program and activity design

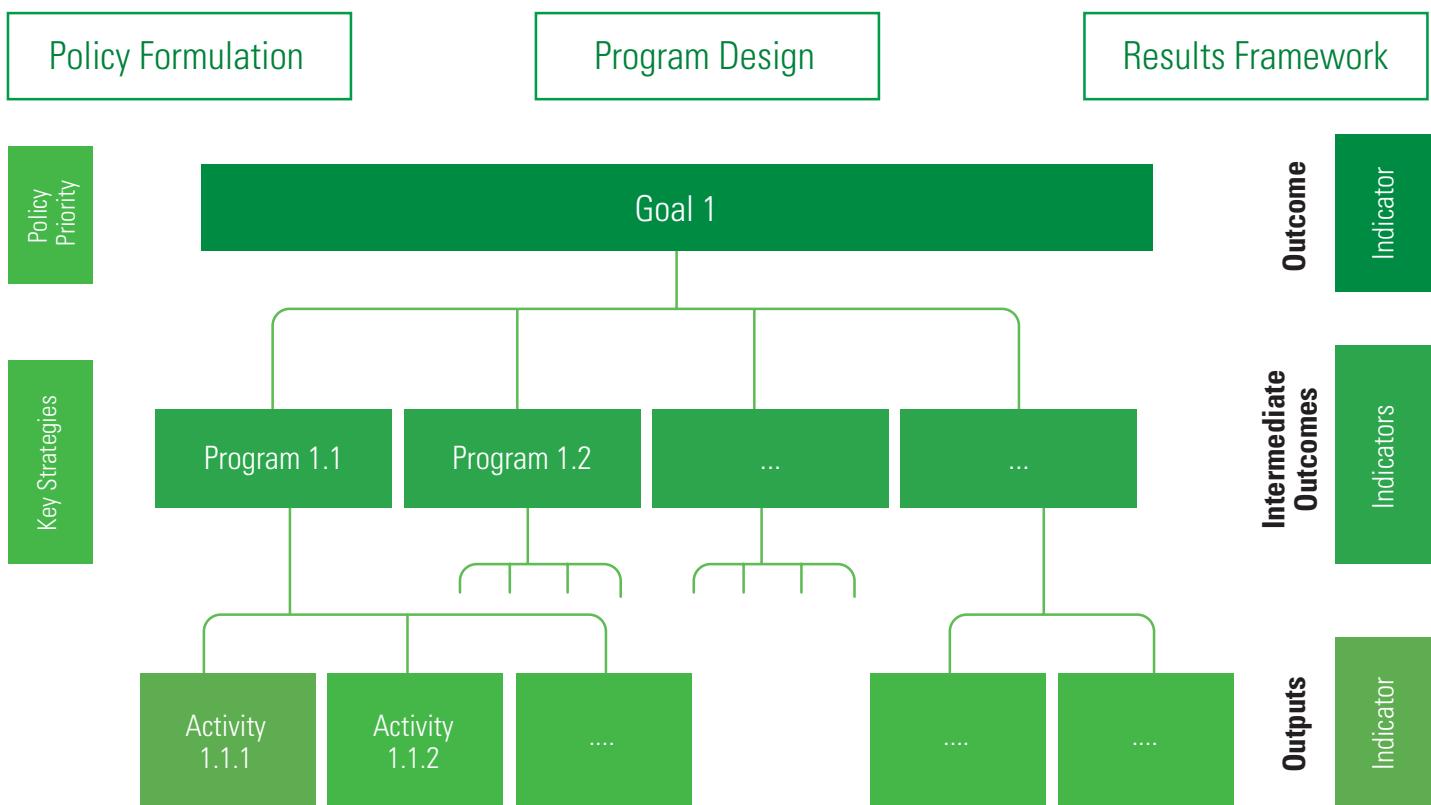
Once the bigger picture is identified by setting well-defined shorter- and medium-term policy priorities and key strategies that take into account the changing environment (Step 2), the program design phase (Step 3) details how the selected programs will lead to the expected results. The design of programs for a TEP makes explicit the rationale for action:

- It translates the challenges and their major causes as identified in the situation analysis (see Education situation analysis) into policy priorities and strategies at the policy formulation stage (see Policy formulation).

- A clear logical argument is incorporated into program design (see page 22) through which programs and remedial actions are linked to expected results (outcomes/outputs).
- The expected results are summed up in the results (or monitoring and evaluation) framework (see page 28).

Figure 2 depicts the various components that are needed to present a well-formulated, logical case as to how the programs and activities selected are systematically reflected in a results framework.

FIGURE 2. PROGRAM DESIGN AND RESULTS FRAMEWORK



The overall architecture of a TEP is based on the logic that if certain activities are conducted, then expected outcomes will be achieved. The structure comprises three levels, with the following elements:

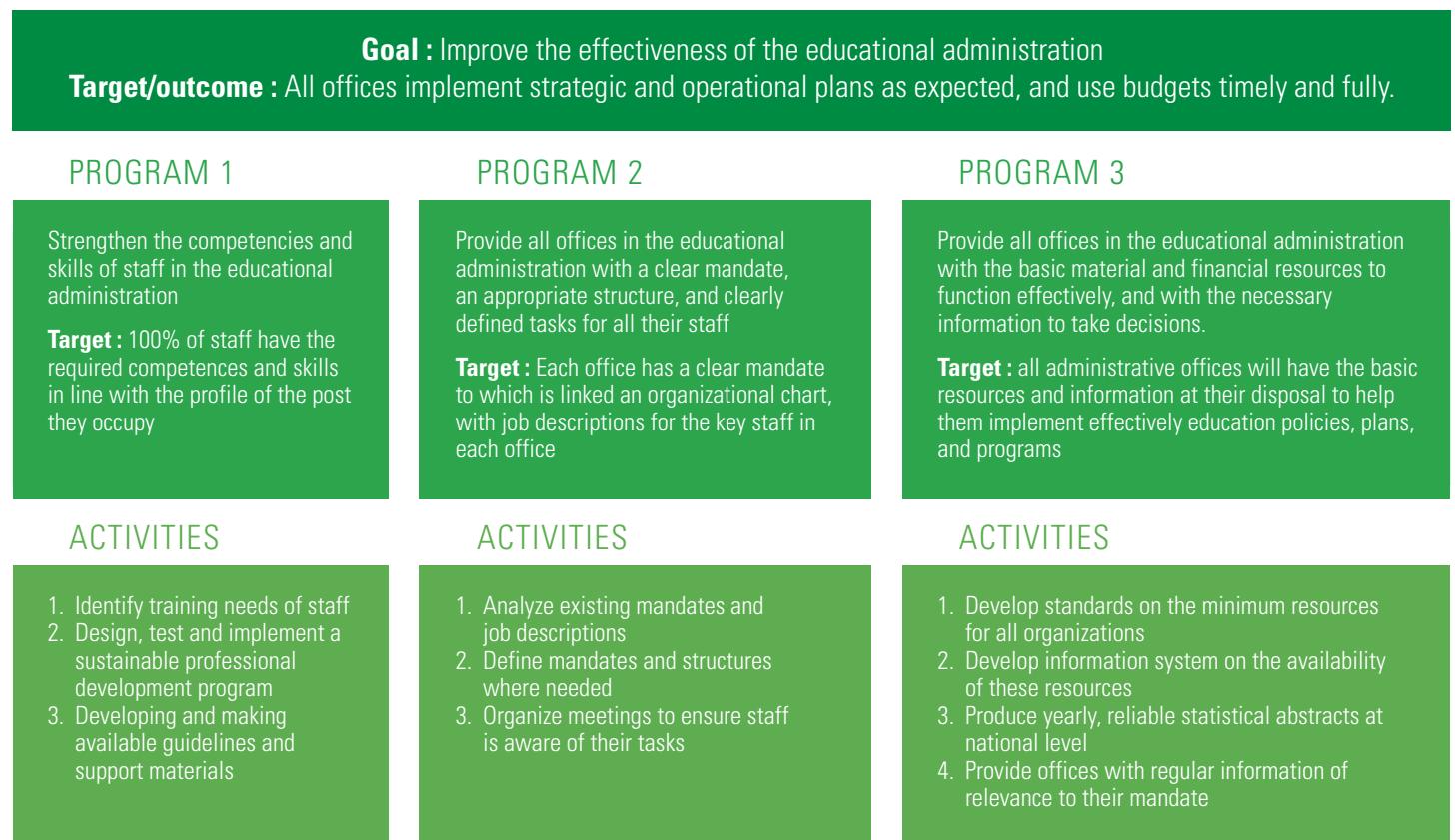
- the **goal**, which addresses a given challenge (or set of challenges) and is linked to a target as an expected outcome;
- **programs with specific objectives** that address the underlying causes of the challenges, and which are also linked to targets as expected intermediate outcomes to be achieved over the plan period;
- **activities** with their corresponding targets or outputs.

If the TEP addresses more than one sub-sector, it may be helpful to structure the plan by the relevant sub-sectors and then categorize the challenges by access,

equity, quality, and management. This provides a basis for developing a results-based remedial strategy.

Figure 3 partially illustrates how activities link to programs to help achieve a goal. The example assumes a country where significant efforts are needed to improve the effectiveness with which the education system is managed. The figure demonstrates how various programs are needed to achieve this overall goal. These programs link respectively to the competencies of the individual officers, the organization of the administration, and the resources that they have at their disposal. One particular difficulty with the design of such a program is that targets are hard to identify – firstly because issues such as ‘competencies’ or ‘clear mandates’ are not easily measurable, and secondly because information on such issues is not regularly collected. The implication is that, at times, new data will need to be collected during the plan’s implementation in order to focus on new priorities.

FIGURE 3. PROGRAM ON EFFECTIVENESS OF ADMINISTRATION



Because the TEP is a shorter-term planning instrument, usually three years, it has to be an actionable plan that includes concrete elements for implementation and provides enough detail for monitoring results. Doing so increases the probability of successful implementation and ensures that funds are directed towards the most-needed activities. This approach differs somewhat from regular sector planning, where the longer-term strategic planning phase is broken down into several sequenced operational planning phases. For efficiency, it is advisable that TEPs be directly outlined into a multi-year implementation plan that breaks programs down into detailed activities for each of the plan's years.

The fundamental aspect is that all years covered by the

TEP are detailed at the activity level, including information necessary for effective implementation. However, the level of detail and accuracy varies depending on the year planned and the type of information required. The first year of the plan implementation should be broken down accurately and comprehensively; for the following years, estimates for certain information are expected, namely the quantity of inputs, the overall cost of activities, and the annual source of funding (identified with an asterisk [*] in Box 3). The estimates are updated on a yearly basis to adapt to the course of action and evolving environment and for use in budget programming (for more information see Monitoring and evaluation mechanisms).

BOX 3: ELEMENTS TO CONSIDER FOR BREAKING DOWN THE PROGRAMS INTO AN OPERATIONAL FRAMEWORK

For each program, information on proposed activities, timing, roles, responsibilities, costs, and anticipated sources of funding is included for the period covered by the TEP, broken down by year. This information encompasses the following elements:

- a **list of the activities** to be undertaken during the plan period and a timeline for implementation of each activity (e.g., by year);
- the **quantity of inputs** required to implement each activity and their unit costs (inputs being defined as the financial, human, and material resources required for implementation);
- the **annual targets** to be achieved for each activity, showing planned activities by year with corresponding targets, to assist with monitoring implementation during the plan period.
- the **overall cost of each activity** – that is, the quantity of inputs multiplied by the unit cost of each – as, ideally, the cost of all planned activities for each year is within the overall envelope of resources potentially identified for the plan period (using ministry of finance budget projections when possible and confirmed development partner inputs);
- the **annual sources of funding** – which include only sources that are actually available or are likely to be available based on current projections – understanding that some sources of funding may be managed outside the regular national budget process or by local governments, NGOs, or other entities, depending on the modality of the support of development and humanitarian partners (if activities funded by these entities are part of the TEP, they also appear in the action plan);
- the **entity responsible** for implementation of each activity;
- **risks to implementation**, including those related to capacity constraints and possible negative changes in the crisis situation.

The plan clearly specifies who is responsible for the overall implementation of the plan and who is to implement specific programs. This increases accountability, both within the ministry and among partners who have committed to supporting the plan. As closely as is possible, implementation responsibilities match the usual ministry departments, including at sub-national levels. During the program design process, working groups assign implementation responsibilities for each of the planned program activities. If a joint steering committee is guiding the plan preparation process, it can also be tasked with overseeing overall implementation at the policy level.

In identifying implementation responsibilities, it is important to answer these questions:

- Who will be involved in implementing the plan?
- Do they have the capacity to implement the planned activities?
- If not, are there partners who have the capacity to implement or support during the plan period? These can include civil society, NGOs, and UN agencies.
- What types of activities are needed to develop the capacities of ministry staff so they can implement the activities? (Note: This capacity development support should be considered as one of the planned activities included in the TEP.)

When the goals, programs, and key activities have been outlined, all targets have been set, and the costs have been estimated, a feasibility check might then address the following questions:

- To what extent do the objectives, programs, and activities address the key challenges identified in the education situation analysis?
- To what extent have these programs been tried previously? What have been the results?
- To what extent are the objectives, programs, and activities coherent and compatible with one another?
- To what extent does the capacity exist to implement the programs and activities?

The feasibility check may lead to a reassessment of priorities and strategies, and to alternative or complementary strategies. It may also be necessary to rethink the plan's objectives. If the feasibility check identifies core capacity constraints in the system, then these should be factored into the TEP's capacity development priorities.

Plan costing and financing

USE OF MODELS FOR COSTING AND FINANCING

A TEP cannot be implemented effectively unless it is costed as accurately as possible to determine the financing needs (see Education situation analysis, cost and finance analysis). When education data are available to inform a simple, demographic-based projection model¹³ (see Box 2 on Data), it becomes possible to estimate the human and physical resources required to meet the specified policy targets (e.g., targeted pupil-teacher ratios, pupil-textbook ratios, and class sizes) of the policy priorities retained. When situations allow – that is, when the macro-economic environment is relatively stable and information is available – it is preferable to develop a simulation model that features macro-economic assumptions to help test the financial viability of the policy priorities.

In both cases (simulation or projection), the model takes into consideration the unit costs associated with teachers, infrastructure, learning materials, and equipment. The unit costs and projected requirements for each item help to forecast the cost of the plan and the financing needs, which in turn forms the basis for discussions about the viability of the plan targets.

Model development starts as early as the situation analysis stage. The education system is modelled, with data collected during the situation analysis inputted to form a baseline against which a number of policy targets will be tested. The model is then used at every stage of the process – from policy formulation to the program and activity design stage – to arrive at a refined costing of the TEP and a results framework with actual targets and milestones. Thinking through possible scenarios will help target education interventions during the TEP period. It may prompt planners to reconsider the programs and activities envisaged earlier in the planning process so as to be responsive to financial and implementation constraints (see Policy formulation).

It is generally advisable to test different sets of projection parameters. For example, it may be useful to test different enrollment targets based on:

- the resolution of a conflict situation and the anticipated return of refugees or IDPs to specific areas of the country;
- an escalation in a conflict, resulting in further displacement as families seek shelter in safer areas or flee the country altogether.

In a post-conflict situation, alternative solutions for accommodating the changing school population may need to be considered.

COSTING

In principle, cost projections cover all expenditures (both capital and recurrent) required for achieving the expected plan results. Salaries constitute the largest component of the education budget; therefore, it is essential that targets for enrollment and pupil-teacher ratios be balanced against the cost of employing additional teachers in order to achieve those targets. Even if the TEP is addressing urgent needs in the short term, financial realism must be taken into account. The question of recurrent costs such as salaries must be addressed, as good teachers are essential to the education system; accordingly, there must be a plan for government payment of teachers over the medium to long term.

Another costing issue that arises with TEPs is the development of estimated unit costs. In some situations, especially when budgeting and financial systems are weak, unit costs may not be readily available for all activities in all parts of the country. If the TEP contains a large program for school rehabilitation

¹³ The projection models are different from the simulation models used for developing an ESP, which, in addition to the resource projections, feature macro-economic assumptions for testing the financial viability and sustainability of the policy priorities.

or construction, for example, unit costs may need to be re-estimated based on improved disaster-resistant designs. Costs may also be significantly higher in remote or crisis-affected areas, where skilled laborers or materials are not available and must be transported from a major urban centre. The TEP includes the best estimates available, usually identified at the situation analysis stage; it might factor in an increased cost percentage for certain areas, or account for inflation if large infrastructure projects are planned. All assumptions are explicitly stated so that partners are aware of the limitations of the cost projections. When annual action plans are produced, the cost estimates are adjusted each year based on then-current estimates.

FINANCING

The estimation of financial resources covers all resources (both internal and external) expected to be available over the plan period. To the extent possible, the TEP incorporates external off-budget financing and support provided by partners, thereby accounting for all financial support dedicated to education. One of the challenges is to identify who is financing what, which requires access to financial information and estimated financial resources for the plan period. In crisis-affected situations, this may be more challenging due to uncertainties surrounding national education budgets and the extent of planned partner support during the plan period. If there is not a pooled fund, such as a multi-donor trust fund, and multiple partners are providing off-budget, project-based support, then it will be more time consuming to gain an accurate sense of who is doing what. The local education group and the Education Cluster (if activated) can be called upon to assist with mapping projects and external financing for inclusion in the TEP.

If an Education Cluster or the UNHCR Refugee Coordination Model has been activated after a major humanitarian crisis, then it is possible that separate humanitarian funds¹⁴ have also been obtained by

Cluster members (generally UN agencies and NGOs) or UNHCR and its partner agencies. These funds, which are used for immediate restoration of schooling in crisis-affected areas, may support the following:

- temporary learning spaces;
- learning materials;
- specialized teacher training initiatives, such as psychosocial training to help children cope better in the aftermath of a crisis;
- construction or rehabilitation of damaged or destroyed education facilities.

Humanitarian funds and related activities are mapped in the TEP to increase the coordination of external activities, avoid duplication of effort, and ensure, to the extent possible, that the activities are aligned with the ministry of education's objectives and supported by partners.

Discussions of financing estimates are central to dialogue and partnership in the education sector. It is essential that the ministry of education and the ministry of finance work closely to develop national projections for the TEP period and the yearly education budgets. The state and its partners have to commit to financing concrete activities.

When financing data are available to indicate a gap, depending on the level of the gap, certain activities included in the TEP might need to be reconsidered to reduce the overall costs. If it is anticipated that additional funding may become available later, then the TEP might include a scenario with a moderate financing gap along with a lower-cost scenario in case the additional funding does not materialize. This allows planners to prioritize and phase activities based on anticipated financing. The TEP contains the best financing estimates possible and clearly states the constraints and assumptions made around both costs and financing in order to facilitate dialogue.

¹⁴ For additional information on humanitarian funding modalities, please see the INEE *Reference Guide on External Education Financing* available at www.ineesite.org

Implementation arrangements and capacities

Given the unpredictable nature of crisis-affected situations, it is important that planners identify potential risks to TEP implementation and propose measures to build resilience so as to avoid or reduce those risks. It is useful to consider the following categories of risk:

- **Contextual risk** includes major changes due to insecurity, disaster, or political or economic crisis. Depending on the context, this may require that the plan incorporate contingencies or build in a degree of flexibility. Planners must consider priority actions to keep the education system running and to keep children and educators safe should there be a major change in the environment. Flexible school calendars or home-based learning programs are examples of actions that can be taken to mitigate conflict risks if the security situation changes dramatically, or to mitigate disaster risks in the case of annual recurring floods or regions with severely cold climates.
- **Implementation capacity** – the ability of the ministry to implement its plan depends on several factors, not all of which are under the ministry's control; some are the result of overall government policies.

Where key capacity constraints are identified, the plan includes measures to address them. For example, the ministry of education may not have staff with the requisite financial management skills to oversee large-scale bidding and procurement processes for school construction. When these processes are inefficient or not followed correctly, school construction cannot proceed at the pace needed to achieve plan targets. Therefore, if resources are available, the plan may rely initially on technical assistance in order to achieve the necessary pace.

In other situations, a phased approach may be adopted whereby partners can provide short-term support for implementation. However, this should be done in a way that helps to build national capacities, including staff development measures such as coaching and training activities. In addition, a specific capacity development plan can address weaknesses identified in the situation analysis (see page 14). As additional capacity is developed, and if more resources become available, then new or revised strategies can be incorporated in the TEP to strengthen the implementation plan for the coming years (see page 28).

Monitoring and evaluation mechanisms

Monitoring and evaluation (M&E) of TEP implementation has three functions:

1. to assess progress and achievement against set targets;
2. to adjust activities based on progress achieved, or on contextual changes that may result in new or altered educational needs;
3. to learn lessons for future policy and planning.

When conducting results-oriented M&E in crisis-affected contexts, the ministry of education should consider the following:

- **Before implementation**, and as part of a TEP preparation, the education ministry is required to develop a results framework and indicators designed to measure progress and achievement of plan objectives. The choice of M&E tools should reflect the changes desired within and beyond the TEP time frame. For example, a curriculum that aims to increase tolerance and social cohesion today may not produce observable changes in student and teacher behavior until several years after the TEP is completed. In this case, it is imperative to develop and agree on progress indicators at intermediate milestones.
- **During implementation**, the security, political or economic context may change dramatically. To remain responsive to these changes, it is essential to monitor their impact on TEP implementation. Information gathered prior to (and updated during) implementation can help address changes or emerging educational needs. As a result, it may be necessary to revise targets downward or upward, or to revise, postpone or even cancel activities based on the changing context. M&E specialists should pay close attention to the context and its impact on state and partner capacity to implement policies and deliver results. Looking not only at what is being implemented (intervention types, activities, and out-

puts) but also at how implementation takes place (program design, required expertise, sensitization of stakeholders, and capacity development) strengthens learning in crisis-affected situations.

- **At the end of or after implementation**, the TEP's results must be evaluated. Where the intended results were not achieved, an evaluation provides an opportunity to examine why, with particular attention to the context and capacity constraints at all levels. This provides useful information when planning priorities and strategies for the subsequent ESP. An evaluation can be undertaken either externally or through a joint evaluation by the ministry of education and one or more of its key partners. It looks at the plan as a whole – from design through implementation – and the expected results at the end of the transition/interim period. The intent is to:

- > evaluate the achievement of the plan's objectives and targets,
- > analyze the reasons why certain results have been achieved and not others,
- > derive lessons for the future.

Results from the evaluation will then feed into the Education Sector Diagnosis and the design of priority programs for the ESP.

The most important monitoring mechanisms are as follows:

- **Regular monitoring** is conducted by heads of responsible units at both national and decentralized levels, as specified in the section on implementation arrangements and in the annual action plans. It is based on the indicators and targets set for each annual plan, and includes monitoring of actual education expenditures against budgets. In crisis-affected situations, monitoring systems should also include indicators relevant to context-specific needs, such as:

- > whether teachers are paid on time,
- > number of IDPs or refugees accessing education,
- > number and type of attacks on schools, etc.

There must be a realistic assessment as to which quantitative data can be made available annually (or more frequently), based on the strength of the ministry's EMIS and its inspection and supervision system. In addition, regular dialogue with beneficiaries and local stakeholders is a crucial complement of M&E systems, as it facilitates collecting qualitative information in unpredictable and rapidly changing contexts. The monitoring framework is then based on quantitative and qualitative data that can realistically be collected and analyzed during the implementation period. Where weaknesses are identified, the TEP includes plans for improving the monitoring system over time.

- **Joint annual review meetings**, conducted with the ministry of education and its development, humanitarian, and civil society partners, are an important component of any M&E framework. They are an opportunity to report on and discuss the results achieved during the year against what was planned. Civil society organizations in particular have a key role to play in ensuring mutual accountability. For instance, they are uniquely placed to provide feedback on whether:

- > implementation is happening according to plan,
- > funds are spent in line with budgets,
- > books and materials reach schools,
- > salaries reach teachers.

When the results are less than expected, these meetings provide an opportunity for dialogue as to why progress is lagging behind expectations and changes that may improve implementation in the next plan period. Where results have been achieved, this can help identify good practices and further motivate the country and its partners.

Annual reviews should be anchored in a policy cycle. They are not only a monitoring mechanism but also a planning instrument that can influence revisions of TEP design, including its budget. Based on the recommendations from the annual review, the ministry of education and its partners should agree on how to fine-tune a more accurate activity planning for the remaining TEP period. Depending on the depth of the required revisions, the activity matrix and results framework may be reorganized, redefined, and re-costed. Occasionally, this may require a profound revision of the TEP, from its policy priorities all the way down to the activity level.

- Because the many meetings and reports can lead to an overload of information, it is useful to identify a limited set of key performance indicators (KPIs) on which information is regularly collected, and which together offer an overview of the progress with the implementation of the TEP. This ensures that the focus of M&E remains on the most essential elements in a plan. The main characteristics of a set of KPIs are as follows:
 - > They should be a relatively small set of indicators.
 - > They should give a comprehensive picture of the education system performance, while focusing on the main objectives of the plan.
 - > Key indicators should mainly relate to the goals and objectives of the plan, not to specific activities.
 - > They should provide information not only about national averages but also about important disparities – for instance, between boys and girls or in geographical terms.
 - > In a crisis context, KPIs should include some indicators regarding either the educational causes of the crisis (e.g., disparities) or the effects of the crisis on education (e.g., schools at risk of attack or damage).

Annex 1: Main components of a context analysis in challenging contexts¹⁵

THEME	KEY QUESTIONS FOR A TEP
<ul style="list-style-type: none"> • Macro-economic and financial context: general economic data, public resources, and their distribution across sectors 	<ul style="list-style-type: none"> ➤ When data and forecast are available: Is the macroeconomic framework favorable for education (consider GDP growth, fiscal pressure, inflation, and exchange rate volatility)? ➤ What was (or is likely to be) the status of national funding for education before and after the crisis occurred? ➤ How has development funding for education been (or is likely to be) affected by the crisis? ➤ Have humanitarian funding mechanisms been activated? If so, are significant amounts of humanitarian funding for education now available within the country? ➤ What is the level of household contribution to education expenditure? ➤ What is the cost of key inputs into the system? How are the unit costs likely to evolve given the country's economic situation?
<ul style="list-style-type: none"> • Demographic context: population growth rate, gender-disaggregated population data, under-15 cohort population, rural–urban migration 	<ul style="list-style-type: none"> ➤ Is population growth putting a heavy strain on the education system (including children and youth)? ➤ Have populations been displaced within the country because of the crisis? Are there specific areas in which people have settled? ➤ Has there been an influx of refugees from a neighbouring country? In which areas have they settled? ➤ Has the crisis created refugees who have fled the country? ➤ Are refugees currently out of the country expected to return in large numbers during the plan period? ➤ What is the demographic impact of protracted displacement situations (IDPs or refugees)?
<ul style="list-style-type: none"> • Sociocultural contexts: poverty and literacy levels, health situation (e.g., under-five mortality, malnutrition, HIV, malaria), homogeneity and heterogeneity of the population, the presence and situation of marginalized groups, multiple languages, populations with historically low demand for education (such as pastoralists and nomadic groups), specific cultural and religious contexts (such as regions with high levels of early and child marriage and female genital mutilation) 	<ul style="list-style-type: none"> ➤ Is the general social context favorable for education demand? ➤ How has the crisis affected different groups? For example: <ul style="list-style-type: none"> • Are previously marginalized groups even less likely to have access to education? • Has there been an increase in the number of children with disabilities? • Which groups of children have missed (or will miss) schooling as a result of the crisis, and for how long?

15 See the thematic mapping that identifies resources (methodologies, tools, etc.) for conducting situation and thematic analyses: <http://www.globalpartnership.org/content/tools-and-resources-planning-fragile-and-conflict-affected-contexts>.

THEME	KEY QUESTIONS FOR A TEP
<ul style="list-style-type: none"> • Politico-institutional context: political (in)stability, effectiveness of the public administration 	<p>➤ How has the crisis affected (or how is it affecting) the country? For example:</p> <ul style="list-style-type: none"> • Are certain parts of the country outside the control of the national government? • Will the national government take responsibility for education provision in all parts of the country? If not, which areas will not receive support?
<ul style="list-style-type: none"> • Vulnerability analysis: the presence or likelihood of risks, such as conflict, disaster, and economic crisis, and their potential impact on the education sector 	<p>➤ Has a conflict/disaster risk analysis been conducted, or an existing one updated?</p> <p>➤ Have the risks changed? The risk analysis should clearly specify the possible:</p> <ul style="list-style-type: none"> • hazards (such as earthquakes and floods, conflicts, refugee/returnee influx, or other crises); • effects and potential effects of crisis on the education system; • capacities of the education system to withstand the possible negative impacts of the identified hazards, including – for example, actions to limit disruptions in educational continuity and to protect learners, educators, and assets from disasters or attacks; • capacity of the education system to absorb an influx of learners (IDPs, refugees, returnees).

Annex 2: Checklist of key education system performance analysis components and corresponding education indicators

Note: When relevant, and to the extent possible, indicators should be disaggregated by gender and by geographic area or relevant identity group.

ACCESS AND EQUITY	
<p>If enrollment rates are not available at sub-national levels, estimates of numbers and share of primary-school-age children out of school may be available from other sources (e.g., partners or household surveys) or may be based roughly on the number of schools closed (and children previously enrolled) and/or the number of displaced children. The analysis also seeks to answer the following questions:</p> <ul style="list-style-type: none"> • What are the characteristics of children who are out of school – e.g., children with disabilities, children displaced by the crisis, children from poor families, former child soldiers, etc.? • Are there disparities with regard to access to and completion of primary education among groups of various characteristics? If so, what are the causes of these disparities? • Do internally displaced or refugee children have the right to enroll at local schools, and do they exercise that right? If not, what are the barriers to access? What other arrangements have been put in place to ensure that their right to education is met and aligned with national standards? • In which geographical areas are access to education and/or retention particularly low? What are the causes? • Are relevant, flexible options available for all children and adolescents, including accelerated, alternative, non-formal options for over-age children who have missed significant periods of schooling or who have never been to school? 	
INDICATOR	DATA NEEDED
Gross enrollment rate (GER) <input type="checkbox"/> Pre-primary <input type="checkbox"/> Primary (including alternative education programs) <input type="checkbox"/> Lower secondary <input type="checkbox"/> Upper secondary	<ul style="list-style-type: none"> ➊ Grade-level enrollment ➋ Age-specific population data
Gender parity index (GPI) <input type="checkbox"/> Primary <input type="checkbox"/> Lower secondary <input type="checkbox"/> Upper secondary	
Primary gross intake rate (GIR)	<ul style="list-style-type: none"> ➊ Number of children entering Grade 1 ➋ Enrollment and number of repeaters in Grade 1 ➌ Population of official age for entry to Grade 1

INDICATOR	DATA NEEDED
Share of primary-school-age children out of school	<ul style="list-style-type: none"> ➤ Number of primary-school-age children enrolled ➤ Total population of primary-school-age children
Share of adolescents out of school	<ul style="list-style-type: none"> ➤ Number of out-of-school adolescents ➤ Total population of adolescents
Primary completion rate	<ul style="list-style-type: none"> ➤ Number of new entrants in last grade of primary ➤ Enrollment and number of repeaters in last grade of primary ➤ Population at entrance age for last grade of primary education
Transition rate from primary to lower secondary	<ul style="list-style-type: none"> ➤ Number of new entrants to first grade of lower secondary in year T ➤ Number of students enrolled in last grade of primary education in year T-1
Lower secondary completion rate	<ul style="list-style-type: none"> ➤ Number of new entrants in last grade of lower secondary education ➤ Population at entrance age for last grade of lower secondary education
INTERNAL EFFICIENCY	
INDICATOR	DATA NEEDED
Repetition rate, by grade	<ul style="list-style-type: none"> ➤ Enrollment by grade for school year T ➤ Number of repeaters from the same cohort by grade for year T+1
Dropout rate, by grade	<ul style="list-style-type: none"> ➤ Enrollment by grade for school year T ➤ Enrollment and number of repeaters by grade for year T+1.
QUALITY	
<p>A range of both inputs and processes affect the quality of learning and, ultimately, learning outcomes for students. To the extent possible, each of the following quality factors is analyzed:</p> <ul style="list-style-type: none"> • Teachers: The number of teachers is disaggregated by type (e.g., civil servant, contract, or community teacher) or level of qualification, and then further disaggregated by gender and geographic area if possible. The analysis seeks to answer these questions: <ul style="list-style-type: none"> - Are there gender disparities within the teaching cadre? At which levels? What are the causes of the disparities? - Is there coherent, equitable deployment of teachers (including qualified and civil servant teachers) across the country? - Are there geographical areas where the lack of teachers is particularly concerning? 	

- Are there areas of the country in which a large percentage of the teaching force is untrained or unqualified?
- Are there areas in which there are no, or few, female teachers? At which level(s)?
- Are there qualified teachers within the refugee or IDP population?
- Are there teachers with the language skills needed to teach children in remote areas, refugees, and IDP children?
- Do teachers have the relevant skills to respond to the educational needs of crisis-affected children (e.g., multi-grade/multi-level strategies for children who have been out of school and are at different academic levels, psychosocial support, second-language acquisition strategies, etc.)?
- What percentage of teachers from all parts of the country have access to (in-service and pre-service) teacher training opportunities?
- What is the system for pre- and in-service training of teachers? Are a training system and teacher training institutions in place? Are they functional? What is the intake capacity for the training of new teachers? What is the typical graduation rate?
- Which potential partners could support teacher training if government capacity is lacking?
- Are there flexible, in-service pathways to teacher certification/qualification for those unqualified teachers who may be unable to access traditional pre-service teacher training institutions?
- What are the differences in incentives and/or remuneration for the different categories of teachers (civil servant, contract, community)? Are teachers paid regularly and on time?

INDICATOR	DATA NEEDED
<input type="checkbox"/> Pupil-teacher ratio, by level (pre-primary, primary, lower, and upper secondary)	<ul style="list-style-type: none"> ➊ Number of pupils, by level ➋ Number of teachers, by level
<input type="checkbox"/> Percentage of teachers trained (pre-/in-service), by level	<ul style="list-style-type: none"> ➊ Number of trained teachers, by level ➋ Total number of teachers, by level
<input type="checkbox"/> Percentage of civil servant, contract, and community teachers, by level	<ul style="list-style-type: none"> ➊ Number of civil servant teachers, number of contract teachers, and number of community teachers, by level

- **Schools, classrooms, furniture, and equipment:** The analysis of schools, classrooms, furniture, and equipment should be disaggregated by region. In situations where single-sex schools are required, the number of boys' and girls' schools in use and needed should be reported separately. For geographic areas that historically have been underserved by the education system, it is especially important to identify the number of lower and upper secondary schools in order to develop plans for addressing imbalances. The analysis seeks to answer these questions:

- Are there geographic disparities in terms of the provision of school facilities and services? At which levels? What are the causes of the disparities?
- Are there safe, healthy, gender-responsive, inclusive, and adequately resourced environments that facilitate learning?
- Have schools been damaged or destroyed as a result of the crisis? If so, how many and where?

- What are the school construction capacities in the country? That is, how many new classrooms have previously been constructed (by year)? What is the number of qualified construction companies? What is the availability of materials? Are there potential partners that can manage construction activities?
- How have enrollment projections (both nationally and sub-nationally) been adjusted to take into account children who have been displaced by the crisis, including the possibility of refugees or returning refugees? Will additional learning facilities be needed in order to accommodate local and displaced children for an extended period of time?
- What are the short-term options for learning spaces for displaced children (integration in local schools or establishment of temporary learning spaces)?

INDICATOR	DATA NEEDED
<input type="checkbox"/> Percentage of classrooms in use (and type, if applicable, e.g., permanent, home-based, temporary, open air)	<ul style="list-style-type: none"> ➤ Number of classrooms in use, by type ➤ Total number of classrooms
<input type="checkbox"/> Percentage of schools with functional water and sanitation facilities	<ul style="list-style-type: none"> ➤ Number of schools with water and sanitation facilities ➤ Total number of schools
<input type="checkbox"/> Percentage of schools with power	<ul style="list-style-type: none"> ➤ Number of schools with electricity or solar power ➤ Total number of schools
<input type="checkbox"/> Percentage of schools with boundary walls (if relevant to the context)	<ul style="list-style-type: none"> ➤ Number of schools with boundary walls ➤ Total number of schools
<input type="checkbox"/> Percentage of classrooms to be rehabilitated	<ul style="list-style-type: none"> ➤ Number of classrooms to be rehabilitated ➤ Total number of classrooms
<input type="checkbox"/> Percentage of schools running multiple shifts (if needed, broken down by number of shifts)	<ul style="list-style-type: none"> ➤ Number of schools running shifts ➤ Total number of schools
<p>• Learning materials: The quality and relevance of textbooks is an important part of the analysis in crisis-affected environments. The analysis includes a review of whether learning materials contain messages to help children stay safe and cope with risks they are facing; it also seeks to determine whether textbooks or other learning materials include discriminatory or biased messages. The analysis of availability of textbooks and other learning</p>	

materials, including teacher guides, should also be disaggregated by region. It is most likely that quantitative data will be weak with regard to the actual distribution and use of textbooks throughout the country. For this reason, qualitative information on whether textbooks and learning materials are actually reaching schools is needed. Such information will most likely be based on reports of partners. The analysis seeks to answer:

- Is a rapid textbook review and revision needed to eliminate biased content or to include information focused on priority issues related to safety, resilience, and social cohesion?
- Is there a need to print additional textbooks to replace those destroyed by the crisis? What are the in-country capacities in terms of textbook development, printing, and distribution?
- Are textbooks and other learning materials available in mother-tongue languages? Are there additional language requirements now, e.g., to address the needs of refugees or displaced children?
- Which potential partners could support curriculum and textbook issues if state capacity is lacking?
- Depending on the scope of the TEP, additional analysis might be needed with regard to the existence of other learning resources such as libraries and science labs.

INDICATOR	DATA NEEDED
<input type="checkbox"/> Pupil-textbook ratio	<ul style="list-style-type: none"> ➊ Number of textbooks, by grade or level ➋ Number of students for the same grade or level
<input type="checkbox"/> Proportion of teachers with teacher guides	<ul style="list-style-type: none"> ➊ Number of teacher guides, by grade or level ➋ Number of teachers for the same grade or level
<ul style="list-style-type: none"> • Learning outcomes: If data are available, and if possible, student results on exams and achievement tests are also analysed and disaggregated by gender and geographic location, if possible. In refugee situations, the analysis also considers whether refugees have access to examinations and whether mechanisms exist for the certification of refugee learning achievements. 	



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